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DOD INSTRUCTION 3200.8 - FIVE YEARS LATER -
WHAT RESULTS ?

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UNITED STATES NAVAL ORDNANCE LABORATORY, WHITE OAK, MARYLAND

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DOD INSTRUCTION 3200.8 - FIVE YEARS LATER - WHAT RESULTS?

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ABSTRACT: An NOL study on the use of DOD form 1473, as required by DOD Instruction 3200.8, indicates that: (a) 26.3 percent of DOD activities and their contractors are not using it; (b) the descriptive cataloging when included on DOD form 1473 was judged to be of poor quality in 5.4 percent of all DOD reports; (c) when DOD form 1473 was included in DOD reports, 12.9 percent were judged to be of either poor quality in the subject cataloging (assignment of key words), or provided no key words at all. Positive steps should be taken by DOD to obtain compliance in the use of DOD form 1473. Application of DOD form 1473 to NASA and AEC reports should be negotiated by DOD, in order to realize the full potential of a significant cost saving in technical library operations.

U. S. NAVAL ORDNANCE LABORATORY
WHITE OAK, SILVER SPRING, MARYLAND

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The management of the Naval Ordnance Laboratory, White Oak, Silver Spring, Maryland is vitally interested in its technical library operation, its costs, and the important part it plays in providing technical reports to its scientific and engineering personnel. Keeping costs at a reasonable level and at the same time fulfilling the technical information mission requires a constant examination of all factors that contribute to cost. Where duplication and unnecessary costs exist, positive steps are necessary to eradicate them.

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DOD INSTRUCTION 3200.8 - FIVE YEARS LATER - WHAT RESULTS?

1. On 3 August 1961, NOLTR 61-102 "A Plan to Reduce Costs of Technical Library Operations in the Defense Department" was issued. This plan was also published in the open literature in the journal, "American Documentation", July 1962, p. 295-300. This plan outlined steps that should be taken to realize significant cost savings. On 18 February 1964, DOD issued DOD Instruction 3200.8 which implemented most of the ideas set forth in NOLTR 61-102. Five years after DOD Instruction 3200.8 has been in operation, what results have been achieved?
2. This report deals with the effectiveness of DOD Instruction 3200.8 and its DOD Form 1473. If a Form 1473 is included in each DOD-controlled technical report and if they are properly executed in the descriptive cataloging and subject cataloging (assignment of key words or descriptors), then there would be an effective library cost reduction for each recipient of technical reports. NOLTR 61-102 pointed out that this is a substantial sum of money.
3. In order to determine whether or not DOD had achieved the potential in cost saving through DOD Instruction 3200.8, a sample of 507 reports received by NOL from outside source during the period of 30 December 1968 to 16 January 1969 was examined. On the average, the Laboratory now receives 13,400 technical reports per year. From the sample of 507 reports received, the following factors are covered:
 - a. Identification of sources, with quantity from each.
 - b. Identification of sources required to use the DOD Form 1473 by DOD Instruction 3200.8, their compliance and non-compliance with quantities from each.
 - c. Sources required to use DOD Form 1473 and complying were judged on quality in descriptive cataloging.
 - d. Sources required to use DOD Form 1473 and complying were judged on quality in subject cataloging (assignment of key words).

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4. Out of a sample of 507 reports received during the period 30 December 1968 to 16 January 1969, what were the sources of the reports?

<u>Sources</u>	<u>Quantity</u>	<u>Percentage</u>	
Navy	87	17.2	
Navy contractors	115	22.7	39.9
Army	29	5.7	
Army contractors	48	9.6	15.3
Air Force	15	2.9	
Air Force contractors	99	19.5	22.4
DASA contractors	8	1.6	1.6
ARPA	2	0.3	0.3
DIA	4	0.8	0.8
			80.3
NASA	25	4.9	
NASA contractors	22	4.3	9.2
AEC contractors	26	5.1	5.1
Private Industry (non-govt. contr.)	4	0.8	0.8
Foreign Countries	13	2.7	2.7
NSF contractor	2	0.3	0.3
CIA	8	1.6	1.6
			19.7
Totals	507	100%	

By comparing the above data with the data presented in NOLTR 61-102, it will be seen that the sources of reports sending technical reports to NOL is essentially the same in 1968 as it was in 1961. This fact is probably true for every other DOD component that has a technical report information storage and retrieval operation.

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5. Out of the 507 reports received, a total of 407 were required by DOD Directive 3200.8 dated 18 February 1964 to use DOD Form 1473. How many used DOD Form 1473?

	<u>Used</u> <u>DOD Form 1473</u>	<u>Did not use</u> <u>DOD Form 1473</u>	<u>% not using</u> <u>DOD Form 1473</u>
Navy	42	45	51.8
Navy contractors	72	43	37.5
Army	28	1	3.4
Army contractors	44	4	8.3
Air Force	13	2	13.3
Air Force contractors	80	19	19.2
DASA contractors	7	1	14.2
ARPA	2	0	0
DIA	0	4	100%
Totals	288	119	29.2%

On the assumption that this is a random sample for the overall population of technical reports, it can be stated at the 90% confidence level that at least the following percentage of technical reports are not including DOD Form 1473.

	<u>%</u>
Navy	44.0
Navy contractors	31.0
Army	0.36
Army contractors	3.7
Air Force	3.6
Air Force contractors	14.0
DASA contractors	1.3
ARPA	0
DIA	56.0

Overall 26.3%

6. Of the 288 reports using the DOD Form 1473, the quality of the descriptive cataloging was judged as:

- a. Good - could be used without additional descriptive cataloging work and put directly into our information retrieval system (means that a typical GS-3 or -4 library technician can literally use the information on the form).
- b. Poor - required necessary descriptive cataloging work (to locate additional information within the report or misplaced on the 1473 form) for putting information into our retrieval system.

	<u>Good</u>	<u>Poor</u>	<u>% that are poor</u>
Navy	38	4	9.5
Navy contractors	67	5	6.9
Army	28	0	0
Army contractors	39	5	11.4
Air Force	13	0	0
Air Force contractors	75	5	6.3
DASA contractors	5	2	28.5
ARPA	2	0	0
	<hr/>	<hr/>	<hr/>
Totals	267	21	7.5%

On the assumption that this is a random sample for the overall population of technical reports, it can be stated at the 90% confidence level that at least the following percentage of technical reports containing 1473 forms will have descriptive cataloging that is judged to be poor.

Navy	4.2%
Navy contractors	3.4%
Army	0
Army contractors	5.6%
Air Force	0
Air Force contractors	3.1%
DASA contractors	7.9%
ARPA	0%

Overall 5.4%

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7. Of the 288 reports using the DOD Form 1473, the quality of the subject cataloging (assignment of key words or descriptors) was judged as:

- a. Good - could be used without additional subject cataloging work and put directly into our information retrieval system.
- b. Poor - required necessary subject cataloging work (to locate additional information within the report) for our information retrieval system.
- c. Nothing - no subject cataloging at all.

	<u>Good</u>	<u>Poor</u>	<u>Nothing</u>	<u>% that are poor plus nothing</u>
Navy	35	5	2	16.6
Navy contractors	62	6	4	13.9
Army	24	4	0	14.3
Army contractors	34	3	7	22.7
Air Force	9	4	0	44.5
Air Force contractors	73	7	0	8.7
DASA contractors	4	1	2	75.0
ARPA	2	0	0	0
Totals	243	30	15	15.6%

On the assumption that this is a random sample for the overall population of technical reports, it can be stated at the 90% confidence level that at least the following percentage of technical reports containing 1473 forms will have subject cataloging (assignment of key words) that is judged poor or no subject cataloging at all.

Navy	9.5%
Navy contractors	8.8%
Army	6.4%
Army contractors	14.6%
Air Force	14.2%
Air Force contractors	4.9%
DASA contractors	32.0%
ARPA	0%
Overall	12.9%

8. The data produced from this study shows that DOD has realized only a portion of the potential in reducing costs that are duplicated and wasteful. This is interesting in view of the following points:

a. In August 1961, NOLTR 61-102 called attention to the wasteful duplication and unnecessary costs and outlined a general plan as well as specific steps that should be taken to reduce costs.

b. In February 1964 DOD issued DOD Instruction 3200.8 which specifically covers the general plan and most of the points outlined in NOLTR 61-102.

c. In October 1966 the Committee on Scientific and Technical Information Federal Council For Science and Technology issued a "Standard For Descriptive Cataloging of Government Scientific and Technical Reports." (AD 641092).

d. In November 1966 Military Specification "Research and Engineering Report" MIL-R-18136D(AS) which superseded MIL-R-18136C(WP) of 1 December 1965 was issued covering requirements for Form 1473 in contractors' reports.

e. In 1968 the DOD in joint operation with the Engineers Joint Council issued "Thesaurus of Engineering and Scientific Terms." This document should be of material aid in assigning key words. (AD 672000).

f. In March 1968 DDC issued a document "Abstracting Scientific and Technical Reports of Defense-Sponsored RDT&E." (AD 667000).

The above items provide any organization that originates reports with the necessary tools to complete a quality form 1473 and materially reduce library costs to recipients of the originator's report.

9. Conclusions:

1. The outside sources sending technical reports of interest to NOL remain essentially the same as that reported in NOLTR 61-102. This is probably true for all DOD components that maintain technical report collections.

2. While DOD Instruction 3200.8 is mandatory on DOD activities and their contractors, at least 26.3% of their reports fail to include the DOD Form 1473. After five years the question should be asked, why isn't there 100% compliance with a mandatory requirement? What steps should be taken to obtain compliance? The poorest performer of the major DOD activities was Navy and its contractors.

3. While it is recognized that the descriptive cataloging portion of the Form 1473 is relatively easy to do, the overall quality performance shows that for at least in 5.4% of the reports containing Form 1473, the quality was judged as poor. Subject cataloging (the assignment of key words) is a more difficult task. For those reports containing a Form 1473, the overall quality performance shows that at least 12.9% of the reports had either nothing or quality judged as poor and requiring additional work. It should be obvious that for every report that does not contain a completed, quality Form 1473, each recipient of that report must do cataloging work that is essentially duplicated by every other recipient of the same report. After five years DOD still has a long way to go to realize the potential of cost reduction that is available if 100% compliance with DOD Instruction 3200.8 and properly executed forms are included in each report published by

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activities controlled by the instruction. What is still not apparent to many is the wasted effort that is the result of unnecessary duplication of effort pointed out in NOLTR 61-102. Otherwise, DOD or the headquarters of its major activities would have taken steps to realize the savings. The following table presents a summary of the data for the three areas examined.

Summary of Deficiencies
(at 90% Confidence Level)

Activity	Per cent not Using DOD Form 1-73	Per cent Poor Descriptive Cataloging	Per cent Poor Subject Cataloging or none at all
Navy	44.0	4.2	9.5
Navy Contractors	31.0	3.4	8.8
Army	0.30	0.0	6.4
Army Contractors	3.7	5.0	14.0
Air Force	3.0	0.0	14.2
Air Force Contractors	14.0	3.1	4.0
DASA Contractors	1.3	7.0	32.0
ARPA	0	0	0
DIA	50.0	0	0
OVERALL	26.3	5.4	12.9

9. Since DOD Instruction 3200.8 also made provision on an optional basis for adding "role indicators", it is interesting to note that only one report in 401 exercised this option. Also since this involves considerable work, almost 100% chose not to do this considerable extra work. A serious question is then raised for its continuation as a provision in the DOD Instruction.

10. Recommendations

1. Obviously, the first recommendation is for DOD to take steps to obtain compliance with its Instruction 3200.8. Large cost savings are realizable. At the major activity level of DOD and for selfish reasons (saving money and manpower), these major activities should take immediate steps to insure compliance with a quality product.

2. As a substitute for the optional "role indicator" requirements, it is again suggested as per the suggestion in NOLTR 61-102 that subject cataloging entries (key words or descriptors) be entered on the Form 1-73 in descending order of importance. This is easy, cheap, uncomplicated, and of material value to the library personnel involved in technical information storage and retrieval.

3. There is still a relatively large number of reports generated by government agencies not controlled by DOD, but which issue reports of value and are used by DOD activities. DOD should take steps to work out agreements with both NASA and AEC (a total of 14.3% of all reports received in this sample) to cause them to include Form 1-73 in their reports. The savings to DOD activities receiving NASA and AEC reports would be substantial.

Special Note

ODDR&E requested the authors to add the following statement to this report:

"Add statement that the experience of Defense Documentation Center where 45,914 technical reports received in calendar 1968, 93% included DD Form 1473."

Since no additional information was available or published reports offered as to the sources of DDC documents or on the completeness or quality of the information on the DD Form 1473, the authors can make no evaluation or comparison with author's study as to how much library work (because of DD Form 1473 deficiencies) was necessary to put the reports into a library system operated by each activity that received copies of these same reports.

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